



PATENT
ATTORNEY DOCKET NO. 74622-010

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : BRESLOW, Stuart Lee et al.
Serial No. : 09/476,448
Filed : December 30, 1999
Title : **ON-LINE TRADING SYSTEM**
Examiner : Andrew J. Rudy
Group Art Unit : 3627

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

DECLARATION OF ELIZABETH TAVAREZ

ELIZABETH TAVAREZ deposes and says:

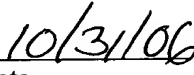
1. This Declaration is being filed in support of U.S. Patent Application No. 09/476,448, filed December 30, 1999 (hereinafter "the Application"), to Stuart Lee Breslow et al.

2. I have been the legal assistant at Proskauer Rose LLP in charge of receiving correspondence from the United States Patent and Trademark Office ("USPTO") and docketing all such received correspondence, due dates and papers filed on our PATTSY system from at least August 3, 2005 until the present. It is my normal procedure to review the incoming correspondence from the USPTO on a daily basis and to enter all such correspondence on a daily basis.

3. I have attached hereto as Exhibit A copy of the PATTSY printout corresponding to the Application, as I printed it on October 31, 2006. This printout does not indicate that any Office Action dated August 3, 2005 was ever received at the offices of Proskauer Rose LLP. If any such Office Action had been received, I would have entered it onto the PATTSY page in accordance with my normal procedure.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.


Elizabeth Tavaraz


Date

PR# 74622-010

PRINTED ON: 10/31/2006

COUNTRY	US	UNITED STATES	TITLE		PRIOR	12/30/1999	
NEW/CON	NEW	SERIAL#	09/476,448	ON-LINE TRADING SYSTEM	MAIL		
RELATED		PATENT#			FILE	12/30/1999	
TYPE	UTL	STATUS	PENDING		PUBL		
CLIENT	74622	UBS FINANCIAL SERVICES	1	CREF	P00015	ISSUE	
AGENT				AREF	4797/34	1ST	12/30/1999
						EXP	12/30/2019

ID	O	ACTION	BASE	DUE IN	DUE	EXTNS	FINAL	EXT	RESPONSE	CALL UP	1	2	P
AV	y	ADVISORY ACTION	6/21/2004										
FR	N	FINAL REJECTION	6/21/2004	3M	9/21/2004	31	12/21/2004	3	11/22/2004	1M	Y	Y	Y
AB	y	APPEAL BRIEF	12/21/2004										
NA	N	NOTICE OF APPEAL	6/21/2004	6M	12/21/2004		12/21/2004	0	12/21/2004	1M	Y	Y	Y
	Y	RCE	5/20/2005										
SC	N	STATUS CHECK	5/20/2005	5M	10/20/2005		10/20/2005	0	10/20/2005	1M	Y	Y	Y
5/20/05 RCE was filed on 5/20/05 check status of application.													
SC	N	STATUS CHECK	10/20/2005	2M	12/20/2005		12/20/2005	0	12/20/2005	1M	Y	Y	Y
Status Request filed on 10/20/05 check status.													
RE	N	NOTICE OF ABANDONMEN	9/22/2006	42D	11/3/2006		11/3/2006	0		1M	Y	Y	Y

INVENTORS

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USER-DEFINABLE FIELDS		PATENT FIELDS			
ART#		SMALL ENTITY	No	ART UNIT	3627
LOC		CLAIMS		EXAMINER	Rudy, Andrew J.
		PUBLICATION#		CONFIRM#	

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